

MSFC ISO REGISTRATION AUDIT SCRIBE NOTES - Feb 98'

THIS AUDITOR'S MAIN FOCUS WAS ON ISO ELEMENTS: *

3 - CONTRACT REVIEW
5 - DOCUMENT AND DATA CONTROL
6 - PURCHASING
7 - CONTROL OF CUSTOMER SUPPLIED PRODUCT
13 - CONTROL OF NONCONFORMING PRODUCTS

*** Other generic issues were discussed as appropriate during the audit, (i.e., Quality Policy, Management Representative, etc.)**

Date: Feb. 26 - 28, 1998

Auditor: Auditor #4 (N)

????? - sanitized , replaced an individual's name

Auditee Organization: GP31

Building #: 4201

ISO Elements: 13,5,6

A Shows auditor information from yesterday.

N "Tell me who is responsible for contractors? What procedure did you use to work with contractors? NAS8-97327. Pull it up on your computer."

A Shows auditor information on screen MSFC-906.1-C05.

N "Show me how you evaluate subcontractors."

A Shows auditor information

N Go to section 3, review and approval pg 26.

A Shows pre-solicitation activities

N Stresses that everything he hears and sees is confidential. "Would you show me your pre-award file?"

A Shows him the checklist.

N "Do you evaluate them and how often do you re-evaluate them?"

A "Yes, we have an assessment done every 6 months. We evaluate against criteria. We have an informal evaluation every quarter."

N "Can I see a copy of the last evaluation?"

A Shows non-official copy, tells him where he can find the official documentation.

N "Do you know when the last contract was awarded? In the future, when we come, we will want to see this type of documentation. What is RFP?"

A "Yes. RFP is Request for Proposal"

N "I've seen enough for now, but I'll be back in the future looking for 1) Your schedule, 2) Your Criteria, 3) Your Objective Evidence. Your procedure needs to be consistent with others on the center that work with subcontractors.

Auditee Organization: EL31, EL32, EL33

Building #: 4203

ISO Elements: 13,5,6

N Document and Data Control. "I will refer to the standards and you can tell me how you deal with them here."

A MSFC-P05.1 Rev E

N “Anything I see or hear is strictly confidential. What documents do you control?
What is your job?”

A Office of Primary Responsibility (OPR). “We write level 1-4, CWI, C01 - C05.” We
create master lists, OWI’s, and MSP’s.

N “Throughout the site, who revise these documents?”

A OPR for each level 1-3 procedure and a OPR for level 4.

N “Where is that covered in your documents? The one thing I’ve liked while being here
is that people are very comfortable with their electronic documents. Keep up the
good work.”

A Shows Master List to auditor. “We put a time limit on a draft.”

N “Show me documentation for this time limit.”

A 10 - 20 working days. Shows him the information. Thoroughly explained reviews
and DCB meetings.

N “How do you know that documentation has been revised?”

A “This Master List shows the status of all reviewed documents.”

N “What are we looking at now?”

A MSFC-P04.2 draft 1 rev C

N “What MSP are we looking at now?”

A MSFC-P05.1-C04 rev C

N “What does your procedure say about your the status of your documents (about
establishing it and keeping it up to date)?”

A Shows auditor information

N "Good job! What document is that in?"

A MSFC-P05.1-C05 Baseline

N "How do you know if you have the latest documentation?"

A "The system is set to delete former versions after the new one is entered. You have 3 choices for the old hard copy documentation.....1) Destroy it - we prefer this one, 2) Mark it for historical purposes, and 3) Suitably identify the old version."

N "You guys have done a great job. A very good job at reducing the paper."

A "We have downsized this huge job to about 2 people."

N "You've come a long way since the pre-assessment."

A "We plan to have continuous improvement. This is not a one day thing. Here today and gone tomorrow."

N What can you tell me about the Marshall Policy?"

A States policy

N "Who is the ISO Rep?"

A Bob Schwinghamer

N "How many people are involved with document and data control?"

A "Many on levels 1-3..."

N "Do you have much trouble getting the feedback from them?"

A "No, because they know how important this is. They also know that it benefits them as well. This system is much better than it was before."

N "I stress to everyone. Don't create a procedure if you don't need it. If you can eliminate some steps or combine some, then do it..... I would like to come back after 90 days for surveillances. So now let's look at the previous NCR's." Looks at form and asks questions about it(Uncontrolled form in use. PDT Change Proposal).

A "We don't work on Level 4 documentation."

N "Who works on this?"

A Gives names.

N Looks at more NCR's.

A Shows all justifiable information

N "You guys did great, you showed me everything I needed to see. Thanks."

Found other person (RSSC / CR) to ask questions on closed-out NCR's and document data control. Person referred him to others that could help him out.

N "What do you do with disks and information for projects?"

A "We don't receive any."

N "How do you handle customers or external documentation?"

A "We don't handle that either."

N "Who would have examples of this?"

A Repository

Thus, a trip to the Repository.....

Auditee Organization: CN31

Building #: 4491

ISO Elements: 13,5,6

N Introduction. "What documents do you receive and how do you control them?"

A "Engineering documents, Change Request Documents, etc."

N "What do you do with them when you get them?"

A "We get some microfilm, hardcopy, electronic documents and file them."

N Stresses confidentiality

A "We get Class 1 (issued and controlled MSFC Documents). They are stamped and filed. I'm the tech monitor for the repository. We index every incoming documents. These are all reference documents, not Master Lists."

N "When you store these documents, is there a procedure for this? What procedure would you follow (if someone was training a new person to log in new documents)?"

A Standard Operating Procedures. I can show them to you.

N "Is this approved and baselined?"

A "Yes."

N "Who is the ISO Rep?"

A Bob Schwinghamer

N "What can you tell me about MSFC's policy?"

A Recites policy

N “What I want everyone to know is that the policy also includes continuous improvement. This is very important.” References CN31-01 RevA. “How do you document this sampling? This became official on 1/15/98 and it is now over a month later, did you do a sample and record the Objective Evidence (OE)?”

A “I have not done a sample for January or February.”

N “Does this procedure talk about how to write down (log) samples? Was this actually done? You must prove that you do what you say you do. If someone new comes into this group, they need to know how to get from one place to the next. I am writing down a finding (not a major NCR) but it needs to be tightened up a bit. (CN31-001 RevA pg 5 para 5). No OE. Remember 2 things, Do what you say and say what you do.”

Goes on a tour of the facility.

N “Show me where things come in.”

A “This is the Receiving and Distribution Area.” Gives an explanation of area.

N Asks to see the logs.

A Shows logs and explains data.

N Asks to see the date stamp.

A Shows information and explains where information goes after it leaves there.

N “Do you have any work in progress now?”

A “Yes” Shows him.

N "What do you do with the original documents?"

A "We file them."

N "Can you show me? How do you track down documents?"

A Explains database.

N "What about the storage location? How is it filed (numbering system)?"

A "Alphabetical by program name, indexing system."

N "Is there a procedure for filing?"

A Contractors do this work, so NQA does not question this system.

N "Do you have control over the temperature, humidity, fire, and the protection of documents? What else do you store here?"

A "Test reports, monthly progress reports, engineering drawings, manuals, project handbooks, MSFC procedures."

N "What area is this?"

A "Reports and Specification"

N "Do you provide disks or CD ROMS to people?"

A "No, that contract is managed by SCSS. The Repository Automated system is here. I'll show it to you. It is a new system being implemented. Explained system....."

N "Anything else you'd like to show me?"

A Shows the microfilm filing system and explain it.

Auditee Organization: EB13

Building #: 4487

ISO Elements: 13,5,6

N Looking for information on the closed NCR's

A Show's MSP's on line, and controlled documents. EB13-97-11 memo 10/27/97.
OWI ChangeRevA.doc

N "What OWI does your organization work with the most?"

A OWI # EB13-EP001 Baseline

N "Explain what is electronic packaging?"

A Explained

N "How many people report to you?"

A 19 people and 2 contractors

N "Who is the ISO Rep?"

A Bob Schwinghamer

N "What is MSFC's Policy?"

A Stated it. Explains why continuous improvement is important to him and his people.
Auditor is pleased and satisfied with findings.

ISO Element(s): 3, 6

Auditee Organization Code: RA01 Building 4202

N: Who has contract review responsibility?

A: ISO Rep STP Offices

- ASTP

- X-33

for RA01 - Upper Stages

- Exploration/Planning Office

Manager of Plans/Operations

Also, Business/Finance Rep

N: Who is the ISO 9000 MSFC representative?

A: Bob Schwinghamer

N: Number of employees

A: 57 employees

N: Are they all in this building? Where?

A: 1st/2nd floor of 4202

N: Who is your customer?

A: Funding from Congress. NASA - customer, provide product/service

We (RA01) work for/with contractor, then product comes back.

N: When you review documents, whose documents do you review?

A: Martin-Lockheed documents are reviewed

N: Review documents, contract review (Lockheed-Martin), verify they are doing what they say they will do.

A: We verify that the MSFC Labs provide this service/products to M-Lockheed. Also, procurement oversight of Lockheed-Martin, Program Manager/Contracting Officer (not at MSFC) has oversight for program.

N: When you do your reviews, how do you know what to review, and how do you record it? Are they meeting their minimum requirements?

A: Need to explain. Program different on program management and relationship with Lockheed Martin. Explained Cooperative Agreement. Contract (External Task Agreements)

N: Is what you explained covered in WI?

A: In Task Agreement maintained by Lockheed. We do not maintain task agreement, but know of it and provide inputs. (X-33, X-34), Cooperative Agreement, 160 Agreements

N: What if someone wants to develop X-35, what WI would they use?

A: Go to P03.1 Plan to go more detail 3:30 p.m. today.

EE61/Building 4202

N: By ISO reads definition of review.

A: What do you mean by review? As per 7100.3, we plan to go out under NRA for new work on potential cooperative agreements.

N: Where is the procedure for reviews documented?

A: Probably project plan, not in P03.1. (Explanation followed) - too fast to write down all words said.

N: Customer agreements fall under contract review then?

A: Customer agreements for X-33 and some contracts with Lockheed-Martin.

N: What falls under contract review?

A: Have customer agreements/a few contracts. 100+ items MSFC agreed to do if Lockheed-Martin agrees to (or wins contract). We have subordinate documents that support customer agreements.

N: Do you review 100+ task agreements? What do you review?

A: We assign focal points on new agreements, who will interface (external/task agreement that both sides agree to).

N: Show me things you reviewed recently.

A: Cost-realignment document (from Lockheed-Martin. The document has a series of task agreements.

Looking at examples of agreements. X-33 program (includes): Flight program (Orbiter), Groundbase propulsion work, have reusable launch vehicle work.

N: P03.1, where is it? Can I have a copy of it?

A: Did provide latest copy (as of last night).

N: Reviewed Document MSP P03.1

Escort - Explained new work opportunity and gave N a copy. (use for LSFTE, and /or Lockheed Martin) (document 7100.3) Program Management Council - explained 75 FTE \$> 1 Million

N: When they send their proposal, how do you respond to them (what is your vehicle)?

A: There are different responses, depending on the situation. Gave explanation by using above reference document.

N: Can you show me where you concur/non-concur with their proposed changes?

A: Yes, I need to get the technical manager for this effort.

N: Fine, please get him.

NOTE: A went down the hall to get someone.

Example found: of X-33 compartments

Change was between Dryden & Lockheed-Martin, Dryden & MSFC

This package had concurrence/non-concurrence sheet with names typed on sheet.

(Dryden, MSFC, Lockheed-Martin signature blocks)

N: Where are the steps you described documented? What do you send to Dryden/or Lockheed-Martin? When you review these, what are you looking for?

A: Pre-coordination usually done, verbal discussions take place before change package actually comes in. Once across-board agreement reached, then package is submitted and follows ISO-STP 03. Rev C

Showed N the document section that implements change.

N: What is your record keeping of verbal/faxes?

A: We use change request, review/distribute to all appropriate persons. Referenced section in P03 Rev. C.

N: Where is the supporting documentation for this particular change?

A: Identified supporting data/documents.

N: Do you have other examples of TA?

A: Yes, about 65

N: Can you show me one more?

A: Yes

N: Do you track them?

A: We keep track of those initiated at MSFC. Shows where in P03.1, we track the changes

N: Can I see your log?

A: Yes, on my computer. Went to employees desk. Showed log to N.

N: P03.1 does not state to keep log. If new employees come in, then how would they know to keep track?

A: May be next to address in P03.1

N: Records 4.3.4 Show me maintenance ref. 4.16. I don't see in the procedure that references who is going to do it and how to do it. STP03 - Is it in there? Under Quality Records. Lockheed Martin maintains record. MSFC maintains a copy for Quality Record - TA.

N: Nonconformance against # 3.

Computer database kept by Chief Engineer is not documented in any procedure. (P03.1). Tracking external TA (task agreements). i.e. Changes/status tracking log not explained.

N: Who is the ISO Manager?

A: Bob Schwinghamer

N: What is the Quality Policy?

A: Main point MSFC provide consist/quality product to its customer as per MSFC procedures.

LA01/Building 4201

N: What is your name and title?

A: J. S. Granger, of Tech. Dev./Instrument Office. 1 of 3 Offices within Tech. Transfer Office. Gave N a copy of organization chart.

N: Who do you report to?

A: Sally D.

N: Appendix A OWI or WI P03.1, need an example where a form was utilized.

A: Explained what they do. (i.e. Space Act Agreement (SAA)) Internal Task Agreement (we do not use).

Ref. other document for outside customer (7100.3) two procedures used: This office uses? How we work in LA - Level 4 document on OWI, how to put Space Act Agreement in place LA OWI 01.10

A: Explains process

N: Review by Legal, is it in the document?

A: Part of procedure, showed where in document

N: What is JPR?:

A: Gives us an idea of what the proposer wants to do

N: Concurrence sheet with form number? Expect to see new/or most current with a form number and form number referenced in a procedure.

A: No response, continued explaining process.

N: I would like to see one with signed concurrence.

A: Found a copy. And showed that they (persons) have reviewed the SAA.

N: Who is the ISO Manager?

A: Bob Schwinghamer

N: OK

N: What is the MSFC Quality Policy?

A: OK

N: Remember continuous improvement

N: What happens to folders when completed? What happens to files?

A: They are stored in my office.

N: In process or completed?

A: No, just completed. New proposals are kept with package engineer.

N: Forms for acceptable concurrence? May want to state that verbal is not acceptable

A: In procedures, for distribution. There is instruction and options to respond but use case reference number.

A: May want to specify methods for acceptable concurrence.

N: Looked at 950576

A: OK

Building 4723

N: What is your title and name?

A: Operations Manager, J.S. Subcontractor

N: Purchasing, issue of subcontract companies, how approve?

N: Are you on MSFC's approved vendors list?

A: Subcontract to SCSC, don't know

N: Where?

A: N/A

N: OWI P6.01 Binder List Quality/Non-Quality or another category?

A: N/A

N: IAR - Inspection & acceptance report. Some IARs came up blank on previous audit (computer sent) Referenced IAR-No 14

A: Should have been taken out of system

N: Is this a training issue?

A: No, New system

N: Show me the purchase order ME-24F

A: Still open: 145 Needed, 125 Filled, 20 Back ordered.

N: Where is the purchase order?

A: Showed N purchase order.

N: What is the indicator that components acceptance

A: When tested, we do IAR.

N: Where is it received?

A: Here in building 4723 by S&MA

N: Where is it noted received?

A: If on receipt, it's not correct, we use a discrepancy report.

N: Does MSFC procedures reference the contract activities? (i.e. SCSC or Cortez 3)

A: Surveillance Plan (based on contract) Support contract for Center.

N: Non-flight disclosure

N: Rejected items/paper work disposition MSFC gives contractor Req. order contractor uses their PO number

N: How are flight items noted?

A: E-mail (ask). Have to get Engineering spec's memo from originator.

N: How do you track/dispose of a non-conforming product?

A: Not sure of response.

N: Where is it documented?

A: Internal procedures. Provided copy for review. Work according to SCSC procedure/ internal procedures.

N: What about MSFC procedures?

A: Review MSFC procedures/verify these procedures match MSFC procedures.

N: Does MSFC procedures reference sub-contractors procedures?

A: Will have to take action to respond.

N: How do you distinguish between flight/non-flight hardware?

A: Yes, there is a form to fill out. Send two copies to the customer that orders part. They keep one and send the other to us.

A: We consider them out of scope.

N: Did not know.

N: Services contract

A: ISO 9000 deals with product/services

GP22/GP31/Building 4201

N: Who handles MSFC subcontractors? Especially Cortez 3, SCSC

A: Do not know, not one of ours.

N: Where do you approve (in procedure) for sub-contractors?

A: If there is a consent package from office responsible. It approves purchasing system then no consent package is required. GP56/GP31 COTR for SCSC, upstairs 6th floor

Transferred to GP31

N: What is your job?

A: Contracting Specialist, working level contracting officer

N: How do you manage SCSC who then subs out work to Cortez 3?

A: The prime contractor is totally responsible for all actions.

N: How many do we (MSFC) have?

A: Not following question

N: How many contractors are operating like SCSC?

A: Prime contract with SCSC, SCSC subcontracted out with Cortez (their decision).
Cortez - Store Stock responsibility SCSC - proposed a seamless organization, SCSC sub
to Cortez for store stock function, Cortez maintains accounting, SCSC - functions -
appendix A - PTS, Packaging, Taxi's, Inspection/Receiving Appendix B - repository,
records on CD ROM Sub to WUHLI. Appendix C - Graphics, Appendix D -
Shipping/Cortez receiving Maint. Repair of R&D (appendix E) - sub to Cortez , Flight
Hardware - appendix D

N: Go to closing meeting, will be back.

A: OK

N: Who selects the contract, evaluation form?

A: SEC selected

Reports in RFP (use CWI of SEB/SECs)

49% SBD

N = NQA Auditor

LE = Lead Escort

E1 = Auditee Escort

OVERVIEW:

N noted concern over discrepancies in the PDTs system. Primarily one IAR (#14) was
blank and one other (#15) had no purchase order number on it.

N also noted a problem with assessment system for BOA contractors. A system was in place but it was not controlled and properly documented. A standard form and procedure should be developed that will improve continuity between assessments of new BOA contractors.

A = Auditee, GP01

LE= Shows Org chart of MSFC and explains organization

N = Noted Pre-assessment audit deficiencies and refers to them through morning

N = How many employees in procurement?

A = 143 people - Then describes the GP01 organization and distribution of the personnel amongst the 4 divisions

N = What about ISO – in the way of procedures and such and who is the ISO manager?

A = Schwinghammer - There was a documentation system in place but ISO required a complete rework. New instructions were developed and linkages were developed. ISO found gaps and contradictions. A large number of documents was reduced, system was computerized and links established.

A = Much training was required to implement the new system. A stand down meeting of all GP employees was held plus daily devotional describing different areas each day. The system was streamlined, system was easier to maintain, electronic system is accessible by all of GP. ISO audits may replace existing audits, improving the system even more.

N = Noted good move to remove documents. Stated he wanted to interview each GP organization.

A = Some folks sequestered for SEB in 4203 basement but most are accessible.

N = Reading NCR from pre-assessment reminds E1 that he wants to see similar activities.

N = Referencing standard, requests E1 to spell out how things are done and procedures used. E1 recommends he speak with next auditee.

A = Auditee, GP25

A = Presents Procurement Deficiency Tracking System (PDTS)

N = Requests a copy of the MQM, Level 2, CWI, and OWI documents that are being referred to by A.

N = Requests explanation of PDTS

A = System developed to track deficiencies on flight and non-flight deliveries.

Walks through process

PMD group is receiving

PMD enters received items into database and initiated IAR

System e-mails quality inspection that hardware is available for inspection

Qual tests and replies with pass/fail

PMD gets notification on Pass and then notifies end user for pickup

GP gets notified if item is failed

GP dispositions and notifies PMD

N = What procedure describes this process

A = PIG document (Procurement Initiators Guide)

A = Shows document on computer

N = What is procedure number?

A = MSFC-P06.1-C03 Rev A

A = Walks through document and flow chart pertaining to PDTS

N = Notes hot links to 10.1 Test and Inspection

N = Where are steps on discrepancies?

A = Shows PDTS system actions

N = What is IAR

A = Inspection and Acceptance Report

N = Requests that A bring up IAR # 25 on the system

N = Requests information such as procurement number and D voucher number for later cross ref.

N = Selects IAR #14 for review

A = Notes that 14 is incomplete with no data inputted

N = Notes error and continues

N = Requests calling up IAR #13

A = Notes it is flight hardware and that building 4723 initiated the PDTS

N = Go to 15

N = Why did purchase order number not get entered on this PDTS?

A = I don't know but it can be tracked also by DCN

N = Requests that they go and talk to a purchasing agent. Then asks how does MSFC evaluate sub contractors.

A = Auditee, GP24U

N = Was there an issue with BOA contracts during the pre-assessment?

A = Yes

N = What is your area of responsibility and Shows NCR?

A = That is my area.

N = What is the issue?

A = Explains the BOA system.

N = How many contractors are involved and what type of work do they do?

A = Machine shops making flight and nonflight hardware.

N = Reads from standard and asks how evaluation is done of contractors.

A = Shows procedure OWI-16 rev B

BOA procurement process

States there are 2 types of BOA contracts – Fab and university and states he only works fab.

Contractors are assessed as either qual or non qual sensitive

N = How do you evaluate for qual/nonqual?

A = Perform survey of the company from an administrative standpoint and quality inspects those requiring quality sensitive survey.

A = we perform a capability assessment using a tech rep and contract specialist. Quality does their own review.

N = Notes observation that hot link to BOA contractor list is non-functional.

A = Shows hard copy list of BOA.

N = Who is the center ISO representative?

A = Schwinghammer

N = What is the MSFC policy?

A = Reads policy from handy chart.

N = How many contractors are on the qual and non-qual list?

A = Gives list to N.

N = Requests that A pull files on Machinecraft and TABOR, specifically the certification records.

A = pulls files on the two companies but states they are only the administrative evaluations. Show letter from quality stating company is good from their inspection.

A = Resolves hot link problem from previous and shows BOA list on the computer.

N = Requests files on non-qual companies Banner and Whitesburg from the BOA list.

A = Gives files to N.

N = Show me the survey/assessment.

A = This is my form that I use for assessment.

N = Everyone should be using the same form to get continuity in assessments.

N = What will be used during future assessments? What is the name of the form?

A = There is no name.

N = What procedure is used to perform a BOA company inspection?

A = Assessment is my decision. Any company that meets a minimal set of requirements is certified from an administrative standpoint.

N = Refers to standard – There must be a defined control over assessment.

N = I do not see a format or procedure for assessing new BOA contractors.

N = there should be a link to existing assessment format so all assessments are equal and a procedure for this must be in place.

N = Who does quality audits for quality assessments?

A = Mark Strickland and Vic Scheuplein.

A = Demonstrates past performance database.

A = OWI – 8 rev B

Shows review sheets

Shows example of how PPDB with customer comment forms. Then walks through the PPDB system and procedure.